

<p style="text-align: center;">KENTUCKY CORRECTIONS Policies and Procedures</p>	<p>Policy Number</p> <p style="text-align: center;">3.6</p> <p>Date Filed</p> <p style="text-align: center;">January 12, 2005</p>	<p>Total Pages</p> <p style="text-align: center;">2</p> <p>Effective Date</p> <p style="text-align: center;">May 26, 2005</p>
<p>Authority/References</p> <p>KRS 18A.145, 196.035, 197.020, 335B, 18 U.S.C. 922(g)(9) and 403.720(1)</p>	<p>Subject</p> <p style="text-align: center;">BACKGROUND INVESTIGATION AND EMPLOYMENT OF EX-OFFENDERS</p>	

I. DEFINITIONS

“Controlled substance” is defined in KRS 218A.010.

“Domestic violence” is defined in KRS 403.720(1).

“Misdemeanor crime of domestic violence” is defined in 18 U.S.C. 921.

II. POLICY AND PROCEDURE

- A. This policy applies to all employees of and volunteers for the Department of Corrections, contract facilities and community centers.
- B. Designated staff of the Office of Adult Institutions and the Office of Community Services and Facilities, shall conduct a complete background investigation of an applicant prior to employment whenever feasible. Investigations shall be conducted after an initial offer of employment has been extended. Every effort should be made to complete the background investigation prior to the employee starting to work, however, if not feasible, the investigation shall be completed as close as possible to the employee’s starting date.
- C. During the initial job interview, a prospective employee shall be informed of the background investigation procedure. He shall be advised that an authorization form must be signed to initiate the background investigation and that this may include being fingerprinted for submission to the Kentucky State Police and the Federal Bureau of Investigation. The fingerprinting may occur during the interview process. The background investigation may include, but not be limited to: driver history records, criminal background checks, credit history checks, and local records checks.
- D. A person's criminal record shall be pursued in depth to determine the nature and disposition of any charge.

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- E. Any arrest on record shall be followed to final disposition. If the charge is filed away, or the individual is found not guilty, the arrest shall not preclude consideration of the individual for permanent employment.
- F. During the initial pre-employment interview, an applicant shall be advised, that if he has been convicted a misdemeanor crime of domestic violence, a felony or trafficking in narcotics, dangerous drugs or controlled substances, he shall not be considered for employment with Corrections in the following positions:
 - a. Probation and Parole Officer
 - b. Classification and Treatment Officer
 - c. Correctional Officer
 - d. A position that requires the carrying of a firearm or transportation of an inmate.
- G. In compliance with 18 U.S.C. 922 (g)(9), each applicant shall be required to fill out a Qualification Inquiry Form. The applicant shall be provided with a copy of the statutory definition of a misdemeanor crime of domestic violence to assist with completing the form.
- H. If an applicant is denied employment, notice of the denial shall conform to KRS 335B.030.

QUALIFICATION INQUIRY FORM

Employee Name: _____

Social Security #: _____

Agency: _____

INQUIRY

1. Have you ever been convicted of a misdemeanor crime of domestic violence within the meaning of the statute (18 U.S.C. 921)? **YES** _____ **NO** _____
2. If you answered **YES** to question number (1), provide the following information with respect to the conviction:

Court/Jurisdiction: _____

Docket/Case Number: _____

Statute/Charge: _____

Date Sentenced: _____

Within ten (10) working days of receipt, you are required to complete this Inquiry and provide it to your immediate supervisor. Please be advised of the following:

- A. You have a duty to complete this form. Agency disciplinary action, including dismissal may be undertaken if you refuse to answer or if you fail to reply fully and truthfully.
- B. Due to the seriousness of the penalties associated with this law, Central Office staff will also conduct a records check through the LINKS program to ensure accuracy of information received.
- C. Neither your answers nor any information or evidence gained by reason of your answers can be used against you in any criminal prosecution for violation of Title 18, United States Code, Section 922 (g) (9). However, the answers you furnish and any information or evidence resulting therefrom, may be used against you in a prosecution for knowingly and willfully providing false statements or information, and in the course of agency disciplinary proceedings.

I hereby certify, to the best of my information and belief, all the information provided by me is true, correct, complete and made in good faith. I understand that false or fraudulent information provided herein may be grounds for adverse action, up to and including my dismissal, and is also criminally punishable pursuant to federal law, including 18 U.S.C. 1001.

Employee Signature

Date

cc: Personnel File

Authorization to Conduct Criminal Records Check, Driving History Records Check, and Credit Reports Check

(Please Read Carefully Before Completing and Signing)

The items of personal information requested below are needed to process your background investigation. This information is intended solely for that purpose and will not be used in a discriminatory manner by the parties noted below in the making of appropriate business decisions.

Printed full name of applicant and current address:

Name (First, Middle, Last) _____

Address Line 1 _____

Address Line 2 _____

City, State, Zip _____

Social Security Number _____ Date of Birth (m/d/y) ____/____/____

Driver's License Number _____ Race _____

Have you ever been convicted of a crime (Omit minor traffic offenses)? Yes____ No____

If Yes, please explain charges and disposition. (Use an additional sheet of paper if necessary)

What State, What County, and What Year did these convictions occur? _____

I authorize the Kentucky Department of Corrections and their agents to investigate my background as part of my application for employment or as a volunteer. This may include information contained in public records, which could include credit history, criminal files at the county, state and federal jurisdiction levels, and motor vehicle records. Moreover, I hereby release the State of Kentucky and the Kentucky Department of Corrections and any agent acting on its behalf from any and all liability of whatsoever nature of requesting such information from any person.

Signature of Applicant _____ ***Date*** ____/____/____

18 U.S.C.A. § 921

(33)(A) Except as provided in subparagraph (C), [FN1] the term "misdemeanor crime of domestic violence" means an offense that--

- (i)** is a misdemeanor under Federal or State law; and
- (ii)** has, as an element, the use or attempted use of physical force, or the threatened use of a deadly weapon, committed by a current or former spouse, parent, or guardian of the victim, by a person with whom the victim shares a child in common, by a person who is cohabiting with or has cohabited with the victim as a spouse, parent, or guardian, or by a person similarly situated to a spouse, parent, or guardian of the victim

(B)(i) A person shall not be considered to have been convicted of such an offense for purposes of this chapter, unless--

- (I)** the person was represented by counsel in the case, or knowingly and intelligently waived the right to counsel in the case; and
- (II)** in the case of a prosecution for an offense described in this paragraph for which a person was entitled to a jury trial in the jurisdiction in which the case was tried, either
 - (aa)** the case was tried by a jury, or
 - (bb)** the person knowingly and intelligently waived the right to have the case tried by a jury, by guilty plea or otherwise.

(ii) A person shall not be considered to have been convicted of such an offense for purposes of this chapter if the conviction has been expunged or set aside, or is an offense for which the person has been pardoned or has had civil rights restored (if the law of the applicable jurisdiction provides for the loss of civil rights under such an offense) unless the pardon, expungement, or restoration of civil rights expressly provides that the person may not ship, transport, possess, or receive firearms.